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EXPRESS MAIL EL 721 098 582 US

PATENT APPLICATION  
DOCKET NO. T7029.CIP.PCT.US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Selfridge, et al.

SERIAL NO.: 09/787,972

FILED: 23 March, 2001

FOR: PARAMETRIC LOUD-  
SPEAKER WITH ELECTRO-  
ACOUSTICAL DIAPHRAGM  
TRANSDUCER

INT'L APP NO. PCT/US99/19580

PRIORITY DATE: 24 September 1998

DOCKET NO.: Docket No. T7029.CIP.PCT.US

## CERTIFICATE OF DEPOSIT

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, postage prepaid, on the date indicated below and is addressed to Box PCT, Assistant Commissioner for Patents, Washington, D.C. 20231.

*Vivian H. Donaldson*  
Vivian H. Donaldson

25 June 2001

Date of Deposit

RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER  
35 U.S.C. IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
(DO/EO/US)

Box PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
13 JUL 2001  
Legal Staff  
International Division

Sir:

In response to the Notification of Missing Requirements under 35 U.S.C. in the United States Designated/Elected Office (DO/EO/US) mailed 25 April 2001, please find enclosed herewith the following items for filing in the United States Patent and Trademark Office in connection with the above-identified patent application:

Assistant Commissioner for Patents

June 25, 2001

Page 2

- ☒ A copy of the Notification of Missing Requirements under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US);
- ☒ Copy of Letters of Administration of Margaret Theresa Johnson Selfridge authorizing her to sign on behalf of the Estate of Alan Robert Selfridge.
- ☒ A Declaration and Petition signed by the Inventors;
- ☒ An Assignment from the inventors to American Technology Corporation;
- ☒ Power of Attorney from American Technology Corporation;
- ☒ Check in the amount of \$105.00 to cover the recordation fee for the enclosed patent assignment, the surcharge fee pursuant to 37 C.F.R. § 1.492(e).

The Commissioner is hereby authorized to charge any additional fees associated with this communication or to credit any overpayment to Deposit Account No. 20-0100.

Please address all future correspondence in connection with this case to the attention of Vaughn W. North.

DATED this 25 day of June, 2001.

06/29/2001 MHGUYEN 00000033 09787972

01 FC:254

65.00 OP

Respectfully submitted,



Clifton W. Thompson  
Attorney for Applicant  
Registration No. 36,947  
Customer No. 20551

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P.O. Box 1219  
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Facsimile (801) 566-0750



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APR 30 2001  
UNITED STATES PATENT AND TRADEMARK OFFICE  
Thorpe, Nor. & Western

Description	Date	Initials
Missing Parts	6-25-01	la
U.S. 5-1-01		

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/787972	AMERICAN TECHNOLOGY CORPO	T7029CIPPCT.

09/787972

AMERICAN TECHNOLOGY CORPO

T7029CIPPCT.

INTERNATIONAL APPLICATION NO.

PCT/US99/19580

I.A. FILING DATE

PRIORITY DATE

26 AUG 99

24 SEP 98

DATE MAILED: 25 APR 2001

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> U.S. Basic National Fee.   | <input checked="" type="checkbox"/> Indication of Small Entity Status.              |
| <input checked="" type="checkbox"/> Copy of the international application.   | <input type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventors(s).  | <input type="checkbox"/> Translation of Article 19 amendments into English.         |
| <input type="checkbox"/> Copy of Article 19 amendments.  | <input type="checkbox"/> Other:   |
| <input type="checkbox"/> Priority Document.  |   |
| <input checked="" type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. |   |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English.        |   |

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.

7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice *MUST* be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PTO-875 ☐ PCT/DO/EO/920

Vonda M. Wallace

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3736

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, state bar number, and address): <b>MARTIN D. DERMER, ESQ.</b> 15720 Winchester Blvd Ste 1 Los Gatos CA 95030 State Bar No. 065626		TELEPHONE AND FAX NOS.: 408-395-5111 Fax 408-354-2797	FOR COURT USE ONLY  <div style="font-size: 48pt; font-weight: bold; letter-spacing: 10px;">FILED</div> <div style="font-size: 24pt; font-weight: bold;">MAR 09 2001</div> CHRISTINE PATTON, CLERK BY VERONICA REMPILO DEPUTY SANTA CRUZ COUNTY
ATTORNEY FOR (Name): <b>Margaret Theresa Johnson-Selfridge</b> <b>SUPERIOR COURT OF CALIFORNIA, COUNTY OF SANTA CRUZ</b> STREET ADDRESS: 701 Ocean Street MAILING ADDRESS: CITY AND ZIP CODE: Santa Cruz CA 95060 BRANCH NAME:		CASE NUMBER: <div style="font-size: 24pt; font-weight: bold;">PR 41998</div>	
ESTATE OF (Name): <div style="text-align: center; font-weight: bold;">ALAN ROBERT SELFRIDGE</div> <div style="text-align: right; font-weight: bold;">DECEDENT</div>			
<div style="text-align: center; font-weight: bold;">LETTERS</div> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> TESTAMENTARY  <input type="checkbox"/> OF ADMINISTRATION WITH WILL ANNEXED         </div> <div> <input checked="" type="checkbox"/> OF ADMINISTRATION  <input type="checkbox"/> SPECIAL ADMINISTRATION         </div> </div>			

- LETTERS
1. ☐ The last will of the decedent named above having been proved, the court appoints (name):
    - a. ☐ executor.
    - b. ☐ administrator with will annexed.
  2. ☒ The court appoints (name):  

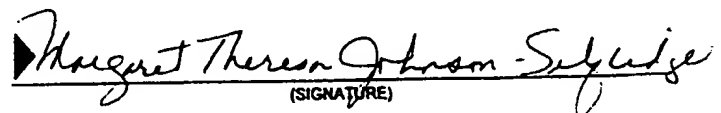
MARGARET THERESA JOHNSON-SELFRIDGE

    - a. ☒ administrator of the decedent's estate.
    - b. ☐ special administrator of decedent's estate
      - (1) ☐ with the special powers specified in the Order for Probate.
      - (2) ☐ with the powers of a general administrator.
      - (3) ☐ letters will expire on (date):
  3. ☒ The personal representative is authorized to administer the estate under the Independent Administration of Estates Act ☐ with full authority ☒ with limited authority (no authority, without court supervision, to (1) sell or exchange real property or (2) grant an option to purchase real property or (3) borrow money with the loan secured by an encumbrance upon real property).
  4. ☐ The personal representative is not authorized to take possession of money or any other property without a specific court order.

WITNESS, clerk of the court, with seal of the court affixed.

(SEAL)	Date: <b>MAR 09 2001</b> Clerk, by <b>CHRISTINE PATTON</b>  <b>VERONICA REMPILO</b> <div style="text-align: center; font-size: 10pt;">(DEPUTY)</div>
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- AFFIRMATION
1. ☐ PUBLIC ADMINISTRATOR: No affirmation required (Prob. Code, § 7621(c)).
  2. ☒ INDIVIDUAL: I solemnly affirm that I will perform the duties of personal representative according to law.
  3. ☐ INSTITUTIONAL FIDUCIARY (name):  
  
 I solemnly affirm that the institution will perform the duties of personal representative according to law.  
 I make this affirmation for myself as an individual and on behalf of the institution as an officer.  
 (Name and title):
  4. Executed on (date): February 6, 2001  
 at (place): Los Gatos, California.

  
 (SIGNATURE)

CERTIFICATION

I certify that this document is a correct copy of the original on file in my office and the letters issued the personal representative appointed above have not been revoked, annulled, or set aside, and are still in full force and effect.

(SEAL)	Date:  Clerk, by  <div style="text-align: center; font-size: 10pt;">(DEPUTY)</div>
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